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Please type an "\*" inside this box ☐PTO/SB/05 (11/00) Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.UTILITY  
PATENT APPLICATION  
TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

|                        |   |
|------------------------|---|
| Attorney Docket No.    | 4797-65   |
| First Inventor         | Sanjay Deshpande  |
| Title                  | System and Method for Enabling Content Providers in a Financial Services Organization to Self-publish Content |
| Express Mail Label No. | EK05131836230US   |

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 30]  
(preferred arrangement as set forth below)  
- Descriptive title of the invention  
- Cross References to Related Applications  
- Statement Regarding Fed sponsored R & D  
- Reference to sequence listing, a table, or a computer program listing appendix  
- Background of the invention  
- Brief Summary of the invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 25]
5. Oath or Declaration [Total Pages 4]  
a. ☒ Newly executed (original or copy)  
b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)  
i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)  
a. ☐ Computer Readable Form (CRF)  
b. Specification Sequence Listing on:  
i. ☐ CD-ROM or CD-R (2 copies); or  
ii. ☐ paper  
c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & documents(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other: Certification of Mailing

18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. \_\_\_\_\_  
Prior application Information: Examiner \_\_\_\_\_ Group Art Unit: \_\_\_\_\_

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label (Insert Customer No. or Attach bar code label here) or ☒ Correspondence address below

|         |   |           |              |
|---------|---|-----------|--------------|
| Name    | Leslie Gladstone Restaino, Esq.<br>Brown Raysman Millstein Felder & Steiner LLP<br>55 Madison Avenue, 4 <sup>th</sup> Floor |           |              |
| Address |   |           |              |
| City    | Morristown  | State     | NJ           |
| Country | USA   | Telephone | 973-285-3242 |
|         |   | Fax       | 973-285-3262 |

|                   |                                  |                                   |                  |
|-------------------|----------------------------------|-----------------------------------|------------------|
| Name (Print/Type) | Leslie Gladstone Restaino, Esq.  | Registration No. (Attorney/Agent) | 38,893           |
| Signature         | <i>Leslie Gladstone Restaino</i> | Date                              | November 8, 2001 |

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12/10/01

# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ ) 996.00

## Complete if Known

|                      |                       |
|----------------------|-----------------------|
| Application Number   | not yet assigned      |
| Filing Date          | concurrently herewith |
| First Named Inventor | Sanjay Deshpande      |
| Examiner Name        |                       |
| Group Art Unit       | to be assigned        |
| Attorney Docket No.  | 4797-65               |

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 02-4270

Deposit Account Name Brown Raysman Milstein Felder & Steiner LLP

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large Entity       | Small Entity | Fee Code (\$) | Fee Code (\$) | Fee Description        | Fee Paid |
|--------------------|--------------|---------------|---------------|------------------------|----------|
| 101                | 740          | 201           | 370           | Utility filing fee     | 740.00   |
| 106                | 330          | 206           | 165           | Design filing fee      |          |
| 107                | 510          | 207           | 255           | Plant filing fee       |          |
| 108                | 740          | 208           | 370           | Reissue filing fee     |          |
| 114                | 160          | 214           | 80            | Provisional filing fee |          |
| SUBTOTAL (1) (\$ ) |              |               |               |                        | 740.00   |

### 2. EXTRA CLAIM FEES

| Total Claims       | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| 32                 | -20** = 12   | 18.00          | 216.00   |
| Independent Claims | 3 - 3** = 0  | 84.00          | 0.00     |
| Multiple Dependent |              |                |          |

| Large Entity | Small Entity | Fee Code (\$) | Fee Code (\$) | Fee Description  |
|--------------|--------------|---------------|---------------|--|
| 103          | 18           | 203           | 9             | Claims in excess of 20                                     |
| 102          | 84           | 202           | 42            | Independent claims in excess of 3                          |
| 104          | 280          | 204           | 140           | Multiple dependent claim, if not paid                      |
| 109          | 84           | 209           | 42            | ** Reissue independent claims over original patent         |
| 110          | 18           | 210           | 9             | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$ ) 216.00

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

| Large Entity                      | Small Entity | Fee Code (\$) | Fee Code (\$) | Fee Description  | Fee Paid |
|-----------------------------------|--------------|---------------|---------------|--|----------|
| 105                               | 130          | 205           | 65            | Surcharge - late filing fee or oath  |          |
| 127                               | 50           | 227           | 25            | Surcharge - late provisional filing fee or cover sheet                     |          |
| 139                               | 130          | 139           | 130           | Non-English specification  |          |
| 147                               | 2,520        | 147           | 2,520         | For filing a request for ex parte reexamination                            |          |
| 112                               | 920*         | 112           | 920*          | Requesting publication of SIR prior to Examiner action                     |          |
| 113                               | 1,840*       | 113           | 1,840*        | Requesting publication of SIR after Examiner action                        |          |
| 115                               | 110          | 215           | 55            | Extension for reply within first month                                     |          |
| 116                               | 400          | 216           | 200           | Extension for reply within second month                                    |          |
| 117                               | 920          | 217           | 460           | Extension for reply within third month                                     |          |
| 118                               | 1,440        | 218           | 720           | Extension for reply within fourth month                                    |          |
| 128                               | 1,960        | 228           | 980           | Extension for reply within fifth month                                     |          |
| 119                               | 320          | 219           | 160           | Notice of Appeal   |          |
| 120                               | 320          | 220           | 160           | Filing a brief in support of an appeal                                     |          |
| 121                               | 280          | 221           | 140           | Request for oral hearing   |          |
| 138                               | 1,510        | 138           | 1,510         | Petition to institute a public use proceeding                              |          |
| 140                               | 110          | 240           | 55            | Petition to revive - unavoidable   |          |
| 141                               | 1,280        | 241           | 640           | Petition to revive - unintentional   |          |
| 142                               | 1,280        | 242           | 640           | Utility issue fee (or reissue)   |          |
| 143                               | 460          | 243           | 230           | Design issue fee   |          |
| 144                               | 620          | 244           | 310           | Plant issue fee  |          |
| 122                               | 130          | 122           | 130           | Petitions to the Commissioner  |          |
| 123                               | 50           | 123           | 50            | Processing fee under 37 CFR 1.17(q)  |          |
| 126                               | 180          | 126           | 180           | Submission of Information Disclosure Stmt                                  |          |
| 581                               | 40           | 581           | 40            | Recording each patent assignment per property (times number of properties) | 40.00    |
| 146                               | 740          | 246           | 370           | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149                               | 740          | 249           | 370           | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 179                               | 740          | 279           | 370           | Request for Continued Examination (RCE)                                    |          |
| 169                               | 900          | 169           | 900           | Request for expedited examination of a design application                  |          |
| Other fee (specify)               |              |               |               |  |          |
| *Reduced by Basic Filing Fee Paid |              |               |               |  |          |
| SUBTOTAL (3) (\$ )                |              |               |               |  | 40.00    |

## SUBMITTED BY

Name (Print/Type) Leslie Gladstone Restaino

Registration No. 38,893

## Complete (if applicable)

Telephone (973) 285-3242

Signature

*Leslie Gladstone Restaino*

Date

November 8, 2001

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:  
Attorney Docket No.:  
For:

Sanjay Deshpande et al.  
4797-65  
**System and Method for Enabling Content  
Providers in a Financial Services Organization  
To Self-publish Content**


55 Madison Avenue  
Morristown, N.J. 07960  
November 8, 2001

Box Patent Application  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

**CERTIFICATION**

I hereby certify that this paper, bearing Express Mailing Label No. EK051318362US, together with the accompanying papers directed to the above-identified Utility Patent Application are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and are addressed to Box Patent Application, Assistant Commissioner for Patents, Washington, D.C. 20231.

  
\_\_\_\_\_  
Marcy H. Mancuso  
(Mailer)